

RECORDS MANAGEMENT INTERNAL EVALUATION GUIDE

Summary. Internal evaluations allows commanders/directors to assess their program periodically and comply with established internal controls and evaluation taskings from HQ, USAFACFS. Using this checklist will assist organizations in making a preliminary assessment of the status of their records management programs, identifying major problems, and setting priorities for program improvements.

Applicability. This checklist applies to all Fort Sill organizations that are under the jurisdiction of DOIM Records Management.

Overview. It is important to periodically determine the effectiveness of records management programs. Evaluation is a program management function, which when performed, will provide the opportunity to observe the performance of the program functions in subordinate elements. This is extremely important for the statutory programs.

Internal Controls. This checklist must be completed biannually on each division level/battalion level organization within each organization. Activity/organization records manager must provide a copy of each completed internal checklist to DOIM Records Management. Activity records managers must develop and submit an evaluation plan annually to DOIM Records Management that ensure all divisions and battalion level units are evaluated every 2 years.

Applicable Programs.

- a. Recordkeeping Systems (AR 25-400-2) (appendix A).
- b. Correspondence Program (AR 25-50) (appendix B).
- c. Freedom of Information Act Program (AR 25-55) (appendix C).
- d. Privacy Act Program (AR 340-21) (appendix D).
- e. Management Information Control Program (AR 335-15) (appendix E).
- f. Official Mail and Distribution Management (AR 25-51) (appendix F).

Appendix A

RECORDKEEPING SYSTEMS

Question	Yes	No
1. Has the activity/unit formally designated a records manager with responsibility for carrying out the records management program?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are records management responsibilities included in the position description for records managers?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are all employees informed of the identity and role of the records manager serving their office?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does the records manager participate in planning for new electronic information systems and in major modifications to existing systems to ensure incorporation of recordkeeping requirements and records disposition procedures?	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the records manager involved in the development of micrographic applications and document imaging systems?	<input type="checkbox"/>	<input type="checkbox"/>
6. Do records managers, secretaries, file clerks, and others with regular records duties receive training in records maintenance and filing procedures and records disposition?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are users properly trained in the operation, care, and handling of records?	<input type="checkbox"/>	<input type="checkbox"/>
8. Does the records manager periodically evaluate records management practices?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do these evaluations include automated information systems?	<input type="checkbox"/>	<input type="checkbox"/>
10. Are written evaluation reports prepared?	<input type="checkbox"/>	<input type="checkbox"/>
11. Are evaluated offices required to respond to the evaluation reports promptly?	<input type="checkbox"/>	<input type="checkbox"/>
12. Does the records manager follow up to determine if offices implement necessary corrective action(s) or recommendations(s) for improvements?	<input type="checkbox"/>	<input type="checkbox"/>
13. Is there evidence that employees understand the definition of records and nonrecord materials, including those created using office automation, and the ways in which they must be managed?	<input type="checkbox"/>	<input type="checkbox"/>
14. Does each office have written Army guidance on what records, including electronic records, are to be created and maintained?	<input type="checkbox"/>	<input type="checkbox"/>
15. Is guidance and instructions issued for documenting policies and decisions, especially those arrived at orally?	<input type="checkbox"/>	<input type="checkbox"/>
16. Does the organization comply with Army guidance on the record status of working papers/files and drafts?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
17. Does the organization issue guidance on personal papers?	<input type="checkbox"/>	<input type="checkbox"/>
18. Are lists of selected files created as a finding aid to facilitate access to individual files or record items, when appropriate?	<input type="checkbox"/>	<input type="checkbox"/>
19. Do contracts identify which contractor-created records are Federal records?	<input type="checkbox"/>	<input type="checkbox"/>
20. Particularly when electronic records are involved, do contracts specify the delivery of background data that may have further value to the organization in addition to the final records?	<input type="checkbox"/>	<input type="checkbox"/>
21. Do contracts involving development of electronic systems specify the delivery of systems documentation along with the final product?	<input type="checkbox"/>	<input type="checkbox"/>
22. Are deferred ordering and delivery of data clauses included in contracts when it is impractical to identify in advance all electronic data that should be delivered to the Government?	<input type="checkbox"/>	<input type="checkbox"/>
23. Are contractors provided the regulations and procedures governing Federal records?	<input type="checkbox"/>	<input type="checkbox"/>
24. Are procedures in place to ensure return of all hardware, software, data files, documentation, and storage media from contractors upon termination of a contract?	<input type="checkbox"/>	<input type="checkbox"/>
25. Are the Army's and organization's regulations and procedures for classifying, indexing, filing, storing, and retrieving records available to all employees?	<input type="checkbox"/>	<input type="checkbox"/>
26. Is access to all records, regardless of media, limited to authorized personnel?	<input type="checkbox"/>	<input type="checkbox"/>
27. Has each office designated official file locations (file stations)?	<input type="checkbox"/>	<input type="checkbox"/>
28. Is the Army file plan (AR 25-400-2) maintained at each file station?	<input type="checkbox"/>	<input type="checkbox"/>
29. Is the Army file plan approved by the Installation Records Manager?	<input type="checkbox"/>	<input type="checkbox"/>
30. Does each office have procedures for filing, charging out, and refiling its records?	<input type="checkbox"/>	<input type="checkbox"/>
31. Are file drawers and folders labeled correctly?	<input type="checkbox"/>	<input type="checkbox"/>
32. Are records in organization electronic information systems readily identifiable?	<input type="checkbox"/>	<input type="checkbox"/>
33. Are diskettes avoided as the media for the exclusive long-term storage of permanent or unscheduled records?	<input type="checkbox"/>	<input type="checkbox"/>
34. Does the organization maintain complete and up-to-date technical documentation for each electronic information system that contains Federal records?	<input type="checkbox"/>	<input type="checkbox"/>
35. Does the organization safeguard and maintain all software and hardware required to read electronic records throughout their life?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
36. Have all employees using personal computers received training and guidance in determining record status of documents that they create with office automation applications?	<input type="checkbox"/>	<input type="checkbox"/>
37. Has the organization implemented procedures for maintaining Federal records created using personal computers in an official file (hard copy or electronic recordkeeping systems)?	<input type="checkbox"/>	<input type="checkbox"/>
38. Are all organization staff who use computers trained in procedures to avoid the unintentional loss of records, including techniques for backing up files and for handling diskettes?	<input type="checkbox"/>	<input type="checkbox"/>
39. Are original and use copies of audiovisual records maintained separately?	<input type="checkbox"/>	<input type="checkbox"/>
40. Are finding aids such as indexes, captions, lists of captions, data sheets, shot lists, continuities, review sheets, and catalogs (published or unpublished) maintained for all audiovisual records?	<input type="checkbox"/>	<input type="checkbox"/>
41. Are cross-references to closely related textual records maintained with audiovisual records?	<input type="checkbox"/>	<input type="checkbox"/>
42. Has the organization instituted procedures to ensure that information on permanent or unscheduled magnetic sound or video media is not erased or overwritten?	<input type="checkbox"/>	<input type="checkbox"/>
43. Does the organization retain original photographic images created electronically (digital photograph)?	<input type="checkbox"/>	<input type="checkbox"/>
44. Does the organization maintain originals of permanent or unscheduled photographs scanned into computer programs?	<input type="checkbox"/>	<input type="checkbox"/>
45. Does the organization store permanent audiovisual records, particularly color films and photographs, in environmentally controlled space (72 degrees Fahrenheit or less and the relative humidity between 30 and 40 percent)?	<input type="checkbox"/>	<input type="checkbox"/>
46. Are maps and drawings stored flat in shallow-drawer map cases rather than folded or rolled?	<input type="checkbox"/>	<input type="checkbox"/>
47. Are permanent maps and drawings stored in acid-free folders?	<input type="checkbox"/>	<input type="checkbox"/>
48. Are large, heavy atlases and other bound volumes of maps or drawings stored flat, preferably on roller shelves to facilitate moving them without damage?	<input type="checkbox"/>	<input type="checkbox"/>
49. Do adequate finding aids such as indexes exist for cartographic and architectural records?	<input type="checkbox"/>	<input type="checkbox"/>
50. Are cross-references to closely related textual records maintained with cartographic and architectural records?	<input type="checkbox"/>	<input type="checkbox"/>
51. Are records disposed only in accordance with approved records schedules contained in AR 25-400-2?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
52. Do file custodians take prompt action to cut off files, destroy records whose retention periods have expired, and retire eligible records to a records holding area (RHA) or a Federal records center (FRC) in accordance with schedule provisions?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix B

CORRESPONDENCE PROGRAM

Question	Yes	No
1. Do the divisions/units follow the guidance in AR 25-50?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are personnel attending correspondence training offered by DOIM?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is signature authority delegated to the lowest level possible in accordance with AR 25-50?	<input type="checkbox"/>	<input type="checkbox"/>
4. Is correspondence prepared in active voice rather than passive voice (i.e., "Submit the form to DOIM" instead of "The form will be submitted to DOIM.")?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are organizational documents sent by e-mail prepared in memorandum format?	<input type="checkbox"/>	<input type="checkbox"/>
6. Do organizational documents which reflect the will of the commander include authority line FOR THE COMMANDER?	<input type="checkbox"/>	<input type="checkbox"/>
7. Is authentication shown over the signature block with the word "signed" or words "signed (Name and Title) for?"	<input type="checkbox"/>	<input type="checkbox"/>
8. Are incoming and outgoing e-mail messages managed the same as paper correspondence?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix C

FREEDOM OF INFORMATION ACT

Question	Yes	No
1. Are rules governing "For Official Use Only" information understood and properly applied for functional proponents?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are records that fall within the purview of exemptions 2 through 9 marked "For Official Use Only" at the time of creation?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are unclassified documents containing "For Official Use Only" information marked "For Official Use Only" in bold letters at least 3/16 of an inch high at the bottom of the outside of the front cover (if any), on the first page, and on the outside of the back cover (if any)?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
4. Are individual pages containing both "For Official Use Only" and classified information marked at the top and bottom with the highest security classification of information appearing on the page?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are photographs, films, tapes, slides, and microforms containing "For Official Use Only" information so marked "For Official Use Only" to ensure recipient or viewer is aware of the information therein?	<input type="checkbox"/>	<input type="checkbox"/>
6. Is "For Official Use Only" material transmitted outside of the Department of the Army properly marked "This document contains information EXEMPT FROM MANDATORY DISCLOSURE under the FOIA. Exemption applies?"	<input type="checkbox"/>	<input type="checkbox"/>
7. Are permanently bound volumes of "For Official Use Only" information so marked on the outside of the front and back covers, title page, and first and last pages?	<input type="checkbox"/>	<input type="checkbox"/>
8. Is DA Label 87 (For Official Use Only Cover Sheet) affixed to "For Official Use Only" documents when removed from a file cabinet?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do electronically transmitted messages contain the abbreviation "FOUO" before the beginning of the text?	<input type="checkbox"/>	<input type="checkbox"/>
10. Are "For Official Use Only" records stored properly during nonduty hours?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix D

PRIVACY ACT PROGRAM

Question	Yes	No
1. Are all personnel, including Government contractors or their employees who are involved in the design, development, operation, maintenance, or control of any system of records, informed of all requirements to protect the privacy of individuals who are subjects of the records?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are individuals made aware of what records are kept on them and let them review or get copies of the records, subject to exemptions authorized by law?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are individuals permitted to amend records about themselves contained in a system of records, which they can prove are factually in error, not up-to-date, not complete, or not relevant?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are individuals allowed to seek administrative review of decisions that deny them access to or the right to amend their records?	<input type="checkbox"/>	<input type="checkbox"/>
5. Are all requests promptly, accurately, and fairly acted on?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
6. Are Privacy statements included on forms and questionnaires that seek personal information from an individual?	<input type="checkbox"/>	<input type="checkbox"/>
7. Is only personal information kept that is timely, accurate, complete, and relevant to the purpose for which it was collected?	<input type="checkbox"/>	<input type="checkbox"/>
8. Is personal information properly safeguarded to prevent unauthorized use, access, disclosure, alteration, or destruction?	<input type="checkbox"/>	<input type="checkbox"/>
9. Is the privacy of individuals protected from an unwarranted intrusion?	<input type="checkbox"/>	<input type="checkbox"/>
10. Is legally authorized personal information about an individual collected only when necessary to support Army operations?	<input type="checkbox"/>	<input type="checkbox"/>
11. Is each DD Form 67 (Form Processing Action Request) for new and revised forms involving Privacy Act data reviewed and signed by the command's Privacy Act Officer?	<input type="checkbox"/>	<input type="checkbox"/>
12. Are the same standards and precautions applied to e-mail messages and automated information systems containing personal information protected by the Privacy Act?	<input type="checkbox"/>	<input type="checkbox"/>
13. Are personnel with access to systems of records aware of the type of personal information which may be released?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix E

MANAGEMENT INFORMATION CONTROL PROGRAM (REPORTS CONTROL)

Question	Yes	No
1. Are Defense Automated Printing Service (DAPS) forms and DD Forms 67 (Forms Processing Action Request) signed by the organizations MICLO?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are all requests for information (data) from the public reviewed for an Office of Management and Budget (OMB) approval?	<input type="checkbox"/>	<input type="checkbox"/>

Appendix F

Official Mail and Distribution

Question	Yes	No
1. Is the smallest envelope used?	<input type="checkbox"/>	<input type="checkbox"/>
2. Is Express Mail used only when absolutely necessary for mission accomplishment?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is only official mail sent to metering facility for metering?	<input type="checkbox"/>	<input type="checkbox"/>

Question	Yes	No
4. Are only proper return addresses used on the return section of the envelopes (i.e., Cdr, USAFACFS, ATTN: appropriate office symbol, Fort Sill, OK 73503-5000)?	<input type="checkbox"/>	<input type="checkbox"/>
5. Is the office symbol and organization name being placed on Option Forms 65 (shotgun envelopes) prior to being placed in distribution?	<input type="checkbox"/>	<input type="checkbox"/>
6. Are personnel aware they can use Option Forms 65 to send documents to other military installations to include HQ TRADOC and HQ FORSCOM?	<input type="checkbox"/>	<input type="checkbox"/>
7. Is the person sorting incoming mail aware of suspicious mail handling procedures?	<input type="checkbox"/>	<input type="checkbox"/>
8. Do the persons sorting incoming mail have access to appropriate gloves and masks (respirators)?	<input type="checkbox"/>	<input type="checkbox"/>